

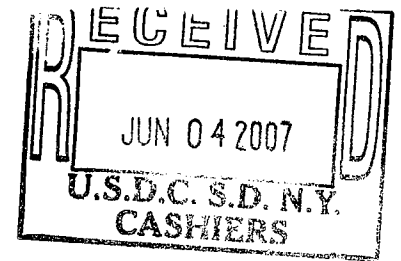
UNITED STATES DISTRICT COURT  
SOUTHERN DISTRICT OF NEW YORK

**JUDGE CEDARBAUM**

THE NEW YORK CITY DISTRICT COUNCIL OF  
CARPENTERS PENSION FUND, NEW YORK CITY  
DISTRICT COUNCIL OF CARPENTERS WELFARE  
FUND, NEW YORK CITY DISTRICT COUNCIL OF  
CARPENTERS VACATION FUND, NEW YORK CITY  
DISTRICT COUNCIL OF CARPENTERS ANNUITY FUND,  
NEW YORK CITY DISTRICT COUNCIL OF CARPENTERS  
APPRENTICESHIP, JOURNEYMAN RETRAINING,  
EDUCATIONAL AND INDUSTRY FUND, NEW YORK  
CITY DISTRICT COUNCIL OF CARPENTERS CHARITY  
FUND, and THE NEW YORK CITY AND VICINITY  
CARPENTERS LABOR MANAGEMENT COOPERATION  
FUND, by MICHAEL J. FORDE, and PAUL O'BRIEN,  
as TRUSTEES,

07 CV 4714  
07 CV \_\_\_\_\_

**COMPLAINT**



Plaintiffs,

-against-

GLEN ROCK CONSTRUCTION LLC,

Defendant.

-----X

Plaintiffs, (hereinafter also referred to as "Benefit Funds"), by their attorneys O'Dwyer & Bernstien, LLP, for their Complaint allege as follows:

**NATURE OF THE CASE**

1. This is an action to confirm and enforce an Arbitrator's Award rendered pursuant to a collective bargaining agreement ("Agreement") between The District Council of New York City and Vicinity of the United Brotherhood of Carpenters and Joiners of America ("Union") and Glen Rock Construction LLC. ("Employer").

**JURISDICTION**

2. This Court has subject matter jurisdiction over this proceeding pursuant to section 301 of the Labor Management Relations Act ("LMRA"), 29 U.S.C. §185, sections

502(a)(3)(B)(ii), (d)(1), (e) and (g) of the Employee Retirement Income Security Act ("ERISA"), 29 U.S.C. §§1132(a)(3)(B)(ii), (d)(1), (e) and (g), section 515 of ERISA, 29 U.S.C. §1145, and section 9 of the Federal Arbitration Act, 9 U.S.C. §9.

3. Personal jurisdiction is based upon Section 502(e)(2) of ERISA, 29 U.S.C. §1132(e)(2).

### VENUE

4. Venue is proper in this district in that Plaintiffs' offices are located in this district.

### PARTIES

5. At all times relevant herein the Plaintiffs were jointly administered, multi-employer, Taft-Hartley Benefit Funds administered by trustees designated by a union and by employers, established and maintained pursuant to section 302(c)(5) of the LMRA, 29 U.S.C. §186(c)(5). Plaintiffs Forde and O'Brien are fiduciaries of the Benefit Funds within the meaning of ERISA sections 3(21) and 502, 29 U.S.C. §§1002(21) and 1132.

6. The Benefit Funds are employee benefit plans within the meaning of sections 3(1) and (3) of ERISA, 29 U.S.C. §1002(1) and (3) and are maintained for the purposes of providing health, medical and related welfare benefits, pension and other benefits to eligible participants and beneficiaries on whose behalf they receive contributions from numerous employers pursuant to collective bargaining agreements between the employers and the Union.

7. Upon information and belief defendant Glen Rock Construction LLC is a domestic corporation incorporated under laws of the State of New York with a principal place of business located at 142 West 36th Street, Suite 408, New York, NY 10018.

8. The defendant is an employer within the meaning of section 3(5) of ERISA, 29 U.S.C. §1002 (5).

**FIRST CLAIM FOR RELIEF**

9. Defendant, Glen Rock Construction LLC, was bound at all relevant times by a collective bargaining agreement with the Union, which, by its terms, became effective July 1, 2001. Said Agreement provides, inter alia, that the defendant shall make monetary contributions to the Benefit Funds on the behalf of covered employees, and for the submission of disputes to final, binding arbitration.

10. A dispute arose during the period of the Agreement between the parties when the Employer failed to comply with obligations under the Agreement to make contributions for employees in the bargaining unit.

11. Pursuant to the arbitration clause in the Agreement, the dispute was submitted to arbitration to Robert Herzog, the duly designated impartial arbitrator.

12. Thereafter, upon due notice to all parties, the arbitrator duly held a hearing and rendered his award, in writing, dated April 2, 2007 determining said dispute. Upon information and belief, a copy of the award was delivered to the defendant (A copy of the award is annexed hereto as Exhibit "A" and made part hereof).

13. The arbitrator found that Glen Rock Construction LLC had failed to make contributions due to the Benefit Funds for the period March 10, 2006 through October 19, 2006, in the principal amount of \$20,157.28.

14. The arbitrator also found that Glen Rock Construction LLC was required to pay interest on the principal amount due at the rate of 10% per annum from the date of the award.

15. The defendant, Glen Rock Construction LLC, has failed to abide by the award.

WHEREFORE, Plaintiffs demand judgment against defendant as follows:

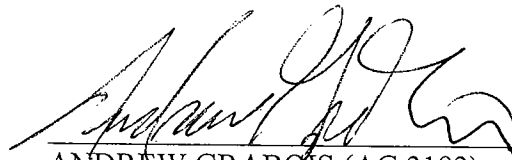
1. For an order confirming the arbitration award in all respects;

2. For entry of judgment in favor of the Plaintiffs and against Glen Rock Construction LLC in the principal amount of \$20,157.28, plus 10% interest per year from the date of the award to the date of entry of judgment;

3. For attorneys' fees and costs of this action;

4. For such other and further relief as this court may deem just and proper.

Dated: New York, New York  
June 4, 2007

A handwritten signature in black ink, appearing to read 'Andrew Grabois', is written over a horizontal line.

ANDREW GRABOIS (AG 3192)  
O'Dwyer & Bernstein, LLP  
Attorneys for Plaintiffs  
52 Duane Street  
New York, NY 10007  
(212) 571-7100

# **EXHIBIT A**

-----X  
In The Matter Of The Arbitration

between

New York City District Council of Carpenters  
Pension Fund, New York City District Council of  
Carpenters Welfare Fund, New York City  
District Council of Carpenters Vacation Fund,  
New York City District Council of Carpenters  
Annuity Fund, New York City District Council  
of Carpenters Apprenticeship, Journeyman  
Retraining, Educational and Industry Fund,  
New York City District Council of Carpenters  
Charity Fund, United Brotherhood of Carpenters  
and Joiners of America Fund and New York City  
and Vicinity Joint Labor Management Cooperation  
Trust Fund, by Michael J. Forde and Paul  
O'Brien, Trustees

**OPINION**

**AND**

**AWARD**

(Funds)

-and-

GLEN ROCK CONSTRUCTION LLC  
(Employer)

-----X  
BEFORE: Robert Herzog, Esq.

GLEN ROCK CONSTRUCTION LLC (hereinafter referred to as the  
"Employer") and the District Council of New York City and Vicinity  
of the United Brotherhood of Carpenters and Joiners of America are  
parties to Collective Bargaining Agreements, dated July 1, 2001 and  
thereafter, providing for arbitration of disputes before the  
undersigned Arbitrator as Impartial Arbitrator, and in which the  
Employer has therein agreed, for the duration of the Agreements, to  
pay contributions toward employee benefit funds (hereinafter  
collectively referred to as the "Funds"). The Funds, as beneficiary

of the Collective Bargaining Agreements, have standing before the Arbitrator. In accordance therewith, the Funds, by a January 3, 2007 Notice of Intention to Arbitrate, demanded arbitration. The Funds alleged the Employer failed to make sufficient benefit contributions to the Funds for the period of March 10, 2006 through October 19, 2006 as required by the Collective Bargaining Agreements.

Notices of Hearing dated January 19, 2007 and February 17, 2007 advised the Employer and the Funds that arbitration hearings were scheduled for February 13, 2007 and March 28, 2007 respectively. The Notices of Hearing were sent to the Employer by regular and certified mail. United States Postal Service Certified Mail Return Receipts evidence delivery of both Notices of Hearing to the Employer.

On February 13, 2007, at the place and time designated by the January 19, 2007 Notice of Hearing, Steven Kasarda, Esq. appeared on behalf of the Funds and Kathleen Hintzen, Controller for Glen Rock Construction LLC, appeared on behalf of the Employer. Ms. Hintzen requested that the February 13, 2007 hearing be adjourned to enable the Employer to negotiate a payment plan with Funds' Counsel prior to the next scheduled hearing date. The adjournment request was granted.

On March 28, 2007, at the place and time designated by the February 17, 2007 Notice of Hearing, Steven Kasarda, Esq. appeared

on behalf of the Funds. Despite the Employer having been sent notice of the proceeding and the claim against it, no appearance on its behalf was made. Also, no written, mutually agreed upon waiver by the parties to adjourn the March 28, 2007 proceeding, as required by the Collective Bargaining Agreements, was presented. The arbitration begun on February 13, 2007 proceeded on March 28, 2007. Full opportunity was afforded the parties to be heard, to offer evidence, and to examine witnesses. The Funds thereupon presented their proofs to the Arbitrator.

The uncontroverted testimony and evidence established that:

- During the March 10, 2006 through October 19, 2006 period, the Employer was bound to Collective Bargaining Agreements with the District Council of New York City and Vicinity of the United Brotherhood of Carpenters and Joiners of America.
- The Collective Bargaining Agreements obligated the Employer to make certain payments to Fringe Benefit Trust Funds on behalf of all its carpenter employees pursuant to schedules set forth in the Agreements.
- The Collective Bargaining Agreements authorized the Funds to conduct audits of the Employer's books and records in order to verify that all the required contributions were made to each of the aforesaid Fringe Benefit Trust Funds maintained by the Funds.



- In accordance with this auditing provision, an accountant, employed by the Funds, and with the consent of the Employer, performed audits of the Employer's books and records.
- No payment plan was negotiated by the Employer with the Funds or Funds' Counsel on or before March 28, 2007.

The testimony of the Funds' auditor, Mr. Anthony Sgroi, established that the audit of the Employer's books and records uncovered delinquencies in the amount of contributions due the Funds during the period of March 10, 2006 through October 19, 2006. The testimony further revealed that a copy of the Audit Summary Report had been forwarded to the Employer. Thereafter, the Funds demanded payment by the Employer. When the Employer failed to comply with the payment demand, the Notice of Intent to Arbitrate issued.

Auditor Sgroi's testimony set forth the accounting method employed during the course of the audit and the computation of the amount of each alleged delinquency. The total amount of the delinquency and interest for the March 10, 2006 through October 19, 2006 period was fourteen thousand two hundred six dollars and nineteen cents (\$14,206.19). The Funds requested an award for contributions owed, interest, liquidated damages, late payment interest, promotional fund assessment, audit and counsel fees, arbitration and court costs as provided for by the Collective Bargaining Agreements. Testimony computing these amounts was received into evidence.

AWARD

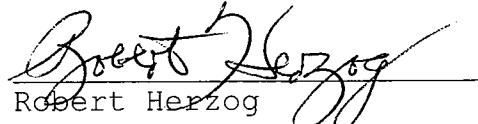
Based upon the substantial and credible evidence of the case as a whole:

1. GLEN ROCK CONSTRUCTION LLC is delinquent in its Fringe Benefit payments due and owing to the Funds under the terms of the Collective Bargaining Agreements;
2. GLEN ROCK CONSTRUCTION LLC shall pay to the Funds forthwith the said delinquency amount, interest on said delinquency amount, liquidated damages, late payment interest, the promotional fund assessment, the Funds' audit and counsel's fees, the undersigned Arbitrator's fee, and all associated court costs in the following amounts:

Principal Due	\$ 13,539.99
Interest Due	666.20
Liquidated Damages	2,708.00
Late Payment Interest	309.69
Promotional Fund	83.40
Court Costs	350.00
Audit Costs	500.00
Attorney's Fee	1,500.00
Arbitrator's Fee	500.00
TOTAL	\$ 20,157.28

3. GLEN ROCK CONSTRUCTION LLC shall pay to the District Council Carpenters Benefit Funds the aggregate amount of twenty thousand one hundred fifty-seven dollars and twenty-eight cents

(\$20,157.28) with interest to accrue at the rate of 10% from  
the date of this Award.

  
Robert Herzog  
Arbitrator

Dated: April 2, 2007

State of New York )  
County of Rockland )

I, Robert Herzog, do hereby affirm upon my oath as Arbitrator  
that I am the individual described in and who executed this  
instrument, which is my Award.

  
Robert Herzog  
Arbitrator

Dated: April 2, 2007

To: GLEN ROCK CONSTRUCTION LLC  
Attn: Jim Stumpf, President  
142 West 36<sup>th</sup> Street, Suite 408  
New York, New York 10018

Steven Kasarda, Esq.  
New York City District Council Carpenters Benefit Funds  
395 Hudson Street  
New York, New York 10014